

Attachment D: CORRECTIVE ACTION PLAN REVIEW PROTOCOL

Attachment D

Contractor Receipt of Corrective Action Plans

1. When a monitoring report requires a CAP, the service provider has 45 calendar days from receipt of the monitoring report to develop and submit a CAP to the Contractor.
2. The Contractor may grant a provider a 15-day extension, in writing, to submit a CAP for extenuating circumstances as agreed upon with the Department. The Contractor is responsible for tracking receipt and extensions of all provider CAPs and providing monthly reports to the Department.
3. The Contractor receives and screens all provider CAPs, using the standardized review tool approved by the Department, to ensure all essential components are included. If components are missing or do not meet the screening requirements, the Contractor contacts the provider to request that they submit corrections or additions within 15 calendar days. The Contractor provides monthly reports on CAP screening data to the Department.
4. If a provider fails to submit the required CAP to the Contractor, the Contractor will follow up, in writing, with the provider. The Contractor will direct submission of the CAP within ten calendar days or direct the provider/municipality to request an extension.
5. If the provider does not respond to the initial written follow-up for a CAP, the Contractor is responsible for two additional documented attempts. If the provider is still unresponsive, the Contractor will refer the case to the Department for further internal review and administrative action. The Department will work with the contractor to determine any additional action that may be needed.

Contractor Review/Approval of Corrective Action Plans

After a provider CAP passes the screen, the Contractor reviews the CAP, including all materials submitted with the CAP. The Department will work with the Contractor to determine which information may be considered extraneous and can be excluded from the CAP review when the materials are submitted. The Department is available for technical assistance to the Contractor staff during their CAP review process.

The Contractor is responsible for identifying any findings within the provider's current monitoring report that are a repeat of findings they received during previous monitoring reviews. The Contractor reviews the previous CAP response and compares it to the current CAP response using a Department approved review protocol and will insert appropriate Department-approved language into the CAP response for that indicator.

The Contractor is responsible for reviewing the provider's proposed corrective actions for each indicator with a finding. Using a format and consistent language approved by the Department. The Contractor then develops a document with individualized responses to the provider's proposed corrective actions for each indicator.

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1. Accepted corrective action

When the provider's proposed corrective actions for an indicator demonstrate a clear understanding of program requirements with steps that will result in effective correction and, for an agency provider the CAP recognizes that staff or contractors acting on behalf of the agency provider must be made aware of and carry out the new/revised policies and procedures, the Contractor will consider the CAP response for the indicator "accepted" and will insert appropriate Department-approved language into the CAP response for that indicator.

2. Accepted with Technical Assistance (TA) corrective action

When the provider's proposed corrective actions for an indicator demonstrate a basic understanding of program requirements, and/or the proposed corrective actions need only minor correction or additions to be considered accepted, the Contractor will consider the CAP response for the indicator "accepted with technical assistance" and will insert appropriate Department-approved language that provides technical assistance into the CAP response for that indicator. The technical assistance includes feedback to clarify program regulations, statute, or guidance and informational worksheets with criteria for those findings and may be provided to assist the provider to revise their corrective action to include all relevant criteria.

3. Needs Correction corrective action

When the provider's proposed corrective actions for an indicator fail to demonstrate even a basic understanding of program requirements, and/or the proposed corrective actions need major correction or additions to be considered accepted, the Contractor will consider the CAP response for the indicator "needs correction" and will insert appropriate Department-approved language into the CAP response for that indicator. The indicator language includes feedback to clarify program regulations, statute, or guidance and informational worksheets with criteria for those findings may be provided to assist the provider to revise their corrective action to include all relevant criteria. Resubmission is required for indicators that need correction. Resubmissions are sent to the Contractor to be screened, tracked, and reviewed. Should a second CAP response result in another "needs correction", the Contractor will collaborate with the Department for next steps. This may result in further administrative action by the Department.

If a provider submits substantive comments with their CAP regarding the monitoring process, or challenges the contractor's findings, the Contractor forwards copies of that documentation to the Department for technical assistance. This may result in the provider receiving a customized letter from the Contractor with their CAP response, acknowledging their observations of the monitoring process or accepting or disagreeing with their comments regarding the findings. Within 45 days after a provider CAP is successfully screened by the Contractor and a draft CAP response sent to the Department to review and approve, the Department sends the final CAP response letter to the provider, with a cover letter from the DOH Program which notifies the provider that the CAP is accepted in full; accepted with technical assistance, without need for a resubmission; or that one or more indicators need correction and additional corrective actions must be resubmitted for those indicators. When the letter

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indicates the CAP does not require resubmission (all indicators have been found to either be "accepted" or "accepted with TA"), the letter also informs the provider that the monitoring report, CAP and any comments received. are considered final, public documents, which may be subject to the Freedom of Information Laws.